

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Jerome S. Golden

Application No.: 09/541,197

Confirmation No.: 4910

Filed: April 3, 2000

Art Unit: 3691

For: SYSTEM AND METHOD FOR PROVIDING
SECURE RETIREMENT BENEFITS VIA A
CONVERSION PROCESS

Examiner: S. E. Chencinski

INFORMATION DISCLOSURE STATEMENT (IDS)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR §§ 1.56 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that this information be placed in the file of the above identified patent application.

This Information Disclosure Statement is filed after the mailing date of a Final Office Action. The cited documents are Registration Statements filed by The Equitable Life Assurance Society Of The United States with the United States Securities And Exchange Commission. These Registration Statements related to embodiments of the inventions disclosed by the applicant in his prior U.S. Patent 5,933,815 ("the '815 patent"). It has come to the Applicant's attention that these Registration Statements are being used by at least one third party to supplement and explain the specification of the '815 patent. The Applicant was aware of these Registration Statements at the time of their filing in 1995 and 1996 respectively. However, the Applicant did not appreciate that these documents are possibly material to patentability under 37 CFR § 1.56 until used by the at least one third party to supplement and explain the specification of the '815 patent.

Applicant submits herewith copies of this non-patent literature in accordance with 37 CFR § 1.98(a)(2). In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. In accordance with 37 CFR § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98.

Dated: May 20, 2008

Respectfully submitted,

By 

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